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Issuance Date: September 1, 1998  
Closing Date: December 4, 1998

Dear Colleague:

I am pleased to announce the FY 1999 Matching Grant Program funded through the Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC). This grant program focuses on strengthening the technical and organizational capacity of U.S. Private and Voluntary Organizations (PVOs) and through them, strengthening partnerships with local organizations to achieve sustainable service delivery. Copies of the guidelines and application may be downloaded from USAID's website ([www.info.usaid.gov](http://www.info.usaid.gov)). Applications are due in to BHR/PVC by **December 4, 1998**.

The program purpose and scope, as well as the eligibility requirements and review process, are described in detail in the accompanying Guidelines. This year's Request for Applications (RFA) continues to build on PVC's Strategic Plan for 1996-2000, further detailing the plan's emphasis on partnership, sustainability and managing for results in order to reach our Strategic Objective: increased capability of PVC's PVO partners to achieve sustainable service delivery.

Once again this year, priority will be given to local partnership, sustainability and managing for results. This year's guidelines reflect PVC's continuing commitment to support the development of formal partnerships between U.S. PVOs and local NGOs and other community-based partners to strengthen their capacity. The Matching Grant Program is interested in the promotion of long-term sustainability of program benefits as well. The third element focuses on increasing the sectoral capacity of PVOs and their partners to track tangible results in USAID priority areas.

The major change this year will focus on integrating the Logframe design tool with managing for results. The new **Planning Matrix** identifies a set of headquarters and field objectives which the program hopes to accomplish. It requests that you identify indicators that match each program objective and define what will be measured to determine whether the objective has been achieved. The matrix then requests that you define **how** the results will be measured and asks you to name the major activities that are needed to achieve each objective. We think this tool and the two examples provided with the matrix will be of tremendous help as you pursue the design of your Matching Grant Program.

We again invite experienced PVOs which are seeking new avenues for capacity building to consider becoming a mentoring organization. The mentoring component between a small, nascent PVO and one that has received prior Matching Grant funding continues to be an important special consideration this year. Mentoring could range from information sharing, to technical assistance in systems development, to joint-venturing by means of a sub-agreement to the nascent organization.

I hope you will be able to attend PVC's two-day RFA workshop, September 24th and 25th, 1998. During the first day, we plan to discuss the combined progress of PVC and our PVO partners to achieve our strategic objective and to conduct a session for PVOs new to PVC's competitive grant programs in the morning. The afternoon will focus on the guidelines for the Matching Grant Program. Particular emphasis will be placed on introducing the Planning Matrix. Day two will feature the Child Survival Grant Program, and an update on Procurement Policies and Regulations.

BHR/PVC looks forward to reviewing many fine applications in FY 1999, and I personally look forward to the opportunity to collaborate with you as a partner in development.

Sincerely,

John P. Grant  
Director  
Office of Private and Voluntary Cooperation  
Bureau for Humanitarian Response

BUREAU FOR HUMANITARIAN RESPONSE  
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION  
MATCHING GRANT PROGRAM

***FISCAL YEAR 1999 APPLICATION GUIDELINES***

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**BUREAU FOR HUMANITARIAN RESPONSE  
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION  
MATCHING GRANT PROGRAM**

***FISCAL YEAR 1999 APPLICATION GUIDELINES***

**A. BACKGROUND AND OVERVIEW OF THE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

USAID's Office of Private and Voluntary Cooperation (BHR/PVC) is the focal point for the Agency's partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). BHR/PVC's competitive grants programs provide direct support to the U.S. PVOs and their local partners to address critical needs in developing countries and emerging democracies. These programs include: Matching Grants, Child Survival Grants, Cooperative Development Grants, Farmer-to-Farmer Grants, Development Education Grants, and Ocean Freight Reimbursement Grants. BHR/PVC is responsible for registering U. S. PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs. The Office is also a key actor in the development of Agency policies and procedures that affect these U.S. organizations.

**PVC's Strategic Plan**

Each USAID operating unit is guided by its own Strategic Plan that in turn contributes to the Agency's sustainable development goals. BHR/PVC's Strategic Plan outlines its program directions and provides a framework for all the grants programs funded and administered by the office. It articulates the specific approaches and performance indicators that will guide the office's work through the year 2002. Given its importance, all prospective applicants are urged to familiarize themselves with PVC's Strategic Plan prior to preparing their application (It can be accessed through the USAID Homepage at [www.info.usaid.gov](http://www.info.usaid.gov)). Highlights are provided below.

**PVC's Strategic Objective (SO) is to "increase the capability of PVC's PVO partners to achieve sustainable service delivery".** This Strategic Objective builds upon PVC's expertise and historical experience working with U.S. PVOs and CDOs, and reflects its primary mission of strengthening the technical and managerial capacity of these partners to successfully contribute to international development. PVC is uniquely positioned within USAID to build institutional capacity. Over the years, PVC's grants have helped many organizations strengthen their institutional capacities and improve their ability to implement programs that USAID and other donors' support.

PVC's Strategic Objective has three distinct elements -- capacity building, service delivery, and sustainability -- all of which are critical for ensuring the significant impact of the work of PVOs on international development problems. The Strategic Objective reflects PVC's commitment that improvement in capability will result in tangible improvements in services to people in developing countries and that the benefits of PVO programs will be sustained over the long term.

Achievement of PVC's Strategic Objective will lead to its goal of achieving sustainable development in priority sectors in which USAID is focusing its efforts: Economic Growth; Population and Human Health; Environment; Democracy; Basic Education and Training; and Crisis Avoidance, Mitigation and Relief. PVC's Strategic Plan recognizes that the capacity of PVOs to partner effectively with local organizations will achieve another important outcome: NGO and other local partners strengthened. The Office has incorporated this critical, complementary objective in its plan as a Sub-Goal.

**To achieve its Strategic Objective, PVC has identified five sub-objectives, or *Intermediate Results*, that cut across all of the grants programs supported by the Office.** These focus on five areas that are critical to achieving PVC's strategic objective: improving the operational and technical capability of PVOs; strengthening the partnership between USAID and the PVOs; strengthening partnerships between U. S. PVOs and local NGOs; improving the mobilization of resources by PVOs; and raising public awareness about international development. These are discussed below in more detail under the highlights from this year's results report.

#### Measuring and Reporting on the Results of PVC's Grants Programs

PVC's competitive grants programs are the main mechanism for PVC to implement its strategy, and therefore, it is critical for PVC to be able to demonstrate solid and convincing results from its grant programs. The office judges its success in achieving the objectives of its Strategic Plan by reporting annually on key performance indicators, related to its strategic objective and intermediate results. The impact, or results achieved by the PVOs in the various grants programs are consolidated by PVC and reported in an annual Results Report. This information is the foundation for the Office budget request and is incorporated into USAID's annual Results Report to Congress.

This is the second year that the Office has consolidated results from PVC funded grants and reported to the Agency on the impact of the PVO activities it supports. This report includes PVC's performance indicators, future year performance targets and results achieved over the last year. Given its importance, PVC's most recent Results Report is attached as Appendix F. A careful review of this report will help applicants to address one of the key questions in this year's RFAs -- how your proposed program will contribute to PVC's strategic objective and intermediate results.

#### Highlights from this year's Results Report

At the **Strategic Objective level**, PVC reported the following results in relation to the three key aspects of the Objective:

(1) Capacity Building -- There has been a slow but steady improvement in the organizational capacity of our PVO partners as measured by our capacity assessment index -- the Discussion Oriented Organizational Self-Assessment (DOSA). There has also been a 21% membership increase in key PVO networks supported by PVC.

(2) Service Delivery -- Both child survival and microenterprise programs have shown impressive strength. Child survival programs had a substantial upward performance trend in maternal immunization

and exclusive breastfeeding, a consistent increase in women's knowledge of when to seek antenatal care and in Tetanus Toxoid coverage. There was a 75% increase in loan volume in microenterprise projects.

(3) Sustainability -- 8% of microenterprise programs have achieved full operational sustainability. However, many PVO programs showed an ongoing decline in the level of local financial contributions to their programs.

PVC reported strong performance in relation to its **five key Intermediate Results**:

**1. Operational and Technical Capacity of U.S. PVOs Improved**

Improving the operational and technical capacity of US PVOs directly affects their ability to achieve sustainable service delivery and to transfer this capacity to local NGOs. Results achieved this year include:

- The quality of PVO program plans increased in most of the quality areas rated. While capacity was very strong in use of state-of-the-art technical approaches, both sustainability planning and use of appropriate performance indicators were identified as areas needing improvement; and
- 45% of PVC-funded grants have a systematic approach to monitoring program performance and measuring impact.

**2. Strengthened Partnership between USAID and U.S. PVOs**

PVC plays a significant role in identifying and addressing issues of importance to the PVO community and strengthening the USAID/PVO partnership, in part through its capacity as Secretariat of the Advisory Committee on Voluntary Foreign Aid (ACVFA). A key result achieved this year was:

- The number of ACVFA recommendations adopted by the Agency increased.

**3. Strengthened U.S. PVO and NGO Partnership**

This is a key Intermediate Result, which supports PVC's Strategic Objective and contributes directly to the sub-goal of the office, "NGOs and other local partners strengthened". The objective of fostering partnerships between PVOs and NGOs is to bring the unique strengths, experiences and insights of the two types of organizations together in a synergistic way to increase the impact of development assistance and to build and sustain the capacity of local NGOs to promote effective development at the community level. A strong partnership implies, among other things, a sharing of resources and transparency and clarity on roles and responsibilities. Results achieved this year include:

- 75% of the PVOs had formal partnerships with local organizations as compared to 50% last year; and
- An increased percentage of PVOs transferred resources to their local partners, and 61% of these PVOs assisted their NGO partner to leverage resources from external sources.

#### 4. Improved Mobilization of Resources by PVC's PVO Partners

A broad and diversified funding base that avoids over-dependence on any one donor is a critical factor in PVO sustainability. Results achieved this year include:

- The percent of PVOs with a diversified funding base increased.

#### 5. U.S. Public Awareness Raised

Increased understanding and awareness of the benefits of international assistance will lead to increased public support of PVO programs and a more diversified funding base. Public support for PVOs reflects a public-private partnership that is nurtured by informing and educating the public about development needs, programs and the role that PVOs and CDOs play in delivering important development services. A key result achieved this year was:

- 39% of the PVOs are currently measuring change in public awareness of development assistance, as compared to 17% last year.

#### Strategic Priorities for 1999

Given the importance of PVO grants to the achievement of the objectives of PVC's Strategic Plan, all applicants this year are asked to give particular attention to describing how their proposed program will contribute to PVC's Strategic Objective and five Intermediate Results.

Based on PVC's experience over the last year and the analysis presented in PVC's Results Report, this year's RFA also places particular emphasis on the following priority areas:

Capacity Building for NGOs and Other Local Organizations: Strong emphasis is placed on strengthening the capacity of NGOs and other local partners through the grants programs, and on establishing clear capacity building objectives. Applicants to the Matching Grant and Child Survival Programs are also asked what skills they need to develop in order to carry out capacity building activities more effectively, and how the proposed program will help them do so. Successful applicants in these two programs are expected to establish a formal agreement with their local partner(s) after the grant is awarded and to develop a plan to measure changes in their partner's organizational capacity.



**Sustainability:** Strong emphasis is placed on promoting the long-term sustainability of program related activities or benefits. PVC encourages all applicants to be as specific as possible in defining their approach to sustainability, in articulating a clear sustainability plan, and in defining how sustainability will be measured. Particular emphasis will be placed this year on financial sustainability, including creative approaches to resource mobilization.

**Managing for Results and Performance Reporting:** Strong emphasis is placed on well- designed programs with a concise, manageable set of objectives that accurately reflect the results and impact that the program seeks to achieve, and a clear set of indicators to measure program performance. All applicants are urged to develop a clear and complete monitoring and evaluation plan for their proposed program. Please make note of the new **Planning Matrix** for several of the grants programs.

In addition to the priorities outlined above, PVC will be looking closely at the proposed costs of the programs in relation to the planned activities to be carried out and projected benefits. Applicants are encouraged to carefully consider innovative ways to achieve cost savings or economies of scale in their programs.

Finally, PVC is encouraging innovative ways to involve new PVOs and to multiply the capacity building effects of its programs. In the Matching Grants and Child Survival Grant Programs, PVC strongly encourages experienced PVOs that have successfully completed at least one grant with PVC to partner with another U.S. PVO with international development experience but no prior grant experience with PVC. The Farmer-to-Farmer Program encourages experienced implementors to partner with other eligible organizations with appropriate skills that are interested in developing a volunteer program in international development.

Copies of PVC's Results Report and Performance Monitoring and Evaluation TIPS are attached to this application. Copies of PVC's Strategic Plan may be downloaded from the USAID homepage at [www.info.usaid.gov](http://www.info.usaid.gov).

## B. PREPARATION AND SUBMISSION OF APPLICATION

All requests for Matching Grant funding for FY 1999 *must be made by completing the accompanying application*. A single-sided original and two (2) bound, double-sided copies of the application (each with a complete set of the required attachments) are to be submitted to BHR/PVC by **December 4, 1998**. **Applicants are also required to submit a copy of their proposal on a small diskette formatted for Word Perfect 5.1 for DOS or 5.2 for Windows.** The original should be "photo-ready," i.e., printed on one side only and unbound. All attachments and/or supplemental documents must be submitted in English or with an English translation.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA can be downloaded from the Agency web site. The worldwide web address is <http://www.info.usaid.gov>. Select "Business and Procurements" from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". The RFA can also be downloaded via "Anonymous File Transfer Protocol (FTP)". The FTP address is FTP.INFO.USAIID.GOV. Log on using the user identification of "anonymous" and the password is your e-mail address. Receipt of this RFA through the internet must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of this solicitation document to ensure that it has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

### APPLICATIONS SHOULD BE SENT TO:

#### *By Mail:*

Sallie Jones  
Matching Grant Program  
USAID/BHR/PVC  
1300 Pennsylvania Avenue, NW 7.6D  
Washington, DC 20523-7600

#### *By Courier/Fed Express:*

Matching Grant Program  
Attn: Sallie Jones  
USAID/BHR/PVC 7.6D  
Ronald Reagan Building  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523-7600

## USAID MISSION SUBMISSION

The Matching Grant Review Committee (MGRC) will evaluate the eligible applications in consultation with USAID field Missions, technical reviewers, USAID Regional Bureaus, and other USAID offices with related interests and expertise. PVC will distribute copies of each application to all reviewers, with the exception of the USAID Missions. *It will be the PVO's responsibility to send copies of its Matching Grant Application to USAID Missions in each country where activities are being proposed.* The applications must be received by the Missions no later than **December 11, 1998**. It is highly recommended that applications be sent *by DHL or international express mail* to the local address for the USAID Mission. Appendix C is a list of mailing addresses for the USAID Missions. Note that the mailing addresses are subject to change. To assure that an address is current, it is advisable to contact the PVO Liaison Officer in the appropriate Regional Bureau in USAID/Washington. A list of Regional Bureau contacts is

also provided in Appendix B. Based on the outcome of the Matching Grant Review Committee's findings, your organization will be required to submit a detailed implementation plan (DIP) within the first six months of the project. A business plan will accompany the DIP as well.

To expedite the proper channeling and review of the application at the USAID Mission, a copy of the application cover sheet, provided as Appendix D of these guidelines, should be fixed securely to your application. *You are also strongly encouraged to verify receipt of the application at the Mission since funding of program activities requires Mission approval.*

## **USAID CONTACT**

Any subsequent questions concerning these guidelines or the grant program, in general, should be referred to your PVC project officer or to Sallie Jones, Chair of the Matching Grant Review Committee, telephone (703) 741-0565, or [mary=liakos%bhr.pvc%AIDW@usaid.gov](mailto:mary=liakos%bhr.pvc%AIDW@usaid.gov). Written and e-mail inquiries may be directed to the above address.

## **C. PROGRAM OBJECTIVES**

PVOs are awarded Matching Grants based on their demonstrated capability to implement successful sustainable development programs. The focus of this grant program is to support institutional strengthening of U.S. PVO headquarters and field programs while furthering the development goals and objectives of USAID.

The four major objectives of the Matching Grant Program are:

- to expand and strengthen the field programs of U.S. PVOs in order to increase prospects for sustainability and results in program areas that are consistent with USAID policies and priorities;
- to assist U.S. PVOs to further enhance their planning systems, management systems and technical competencies to carry out development programs;
- to build the capacity of local non-governmental organizations (NGOs), governmental and community-based organizations (CBOs) through formalized partnership agreements with U.S. PVOs; and
- to increase U.S. private resources directed to development assistance by matching private contributions on a dollar-for-dollar basis through a combined public and private partnership.

## D. ELIGIBILITY CRITERIA

To be eligible for a PVC Matching Grant, an organization must:

- be a U.S. PVO registered with USAID;
- receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources (or fall within Congressionally-mandated guidelines);
- have an established track record (minimum of 3 years) in planning, managing, monitoring and evaluating overseas development programs,
- have completed an external programmatic evaluation of its field activities within the last three years prior to application submission; and
- provide at least a 50% U.S. dollar cash match for the proposed program.

## E. PROGRAM GUIDELINES

All applications will be reviewed for eligibility against the criteria in Section D above and for conformity and consistency with the specifications outlined in these guidelines and the attached application form. Applications that are incomplete, not in correct format, and/or do not respond to all of the questions in the application may not be considered in this review process.

### 1. Requirements: All proposed programs must:

- a. contribute to the BHR/PVC Strategic Objective of "increased capability of PVC's PVO partners to achieve sustainable service delivery;"
- b. be a cohesive part of the overall PVO strategy yet be distinct and measurable for results in their own right<sup>1</sup>;
- c. be consistent with targeted host country development priorities and policies;
- d. focus resources on the management and support of PVO field programs;
- e. be consistent with USAID country-specific program objectives;
- f. contribute to broad based economic growth, environment, population and health, and/or democratic pluralism;

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<sup>1</sup> While a Matching Grant recipient may, upon termination of the grant period, apply for new funding, the Matching Grant program is not intended to be for core support or the mechanism whereby PVO country programs are continued. Each application must delineate a new and distinct program in its own right.

- g. engage USAID Mission in appropriateness of proposed program for a minimum of two countries and a maximum of six. (A list of countries eligible for Matching Grant assistance is attached as Appendix A);
- h. be for periods of either three or five years (NOTE: PVOs that have had no previous grant relationship with PVC will be limited to a grant period of three years); and
- i. establish formal partnership agreements that strengthen local institutional capacity with NGOs, CBOs, local governments, and local businesses to design and implement sustainable development projects.

**2. Matching Grant Program Priorities:** Priority will be given to programs that:

- a. are consistent with BHR/PVC's and the PVO's long-term strategic goals and objectives, which result in the PVO's organizational growth to better address overseas development problems;
- b. demonstrate strong prospects for sustainability of benefits after Matching Grants program funding is terminated;
- c. provide institutional capacity-building to local partner organizations; and
- d. target two or more USAID geographic regions (except where the PVO is limited by mandate to a single region).

**3. Special Consideration:**

PVC is interested in providing PVOs new to the Matching Grant Program with the opportunity to participate through partnerships with PVOs experienced in the program. Organizations which have successfully implemented a prior matching grant will receive special consideration for including a mentoring component with a small, nascent US PVO working in complementary program areas. This is intended to provide a vehicle for these organizations to gain experience without the full burden of program management. Detailed information should be provided on the roles and responsibilities of each organization. (See Section G in the Application.)

**4. Review Criteria:**

Competitive applications must have clearly stated objectives for: 1) how institutional capacity will be developed under this program and **sustained** at its conclusion, and 2) how the results of the program will be measured. The applications will be rated against criteria organized under the following four headings.

- **History of Organization:** (5%) Sectoral commitment and evolution, and relationship of program to broader strategies and PVO goals.

- **Program Foudation:** (20%) Responsiveness to organization and sustainable development needs. Adherence to Agency and Matching Grant program priorities, coherence, feasibility, innovativeness, focus on local capacity building and formalized local partnerships, and logic of country selection.
- **Country-specific Program Activities:** (40%) Socio-economic and cultural familiarity, focus on local capacity building, clear critical indicators and targets, mission coordination and program approval, role for women, technical and financial sustainability, integration with other local USAID activities, and prior USAID support.
- **Program Management:** (30%) Past performance with USAID, PVO technical expertise and financial status, experience in working with local partners, realistic implementation and evaluation plans, strategies to incorporate and disseminate lessons learned, attention to critical issues, and sustainability strategy and comprehensive and appropriate budget.
- **Contribution to BHR/PVC's Strategic Objective and Intermediate Results:** (5%) How does the proposed program respond to PVC's capacity building objective and intermediate results focusing on: 1) improving operational and technical capacity of U.S. PVOs; 2) strengthening partnerships between USAID and U.S. PVOs; 3) U.S. PVO and NGO partnership; 4) improving the mobilization of resources by PVC's partners; and 5) raising the U.S. public awareness.

**5. Restrictions:** The grants will not finance programs which are:

- academic or basic research oriented;
- for construction or commodity procurement;
- non-developmental in nature, such as emergency relief activities; and
- sectarian or politically partisan.

## **6. Financial Guidelines:**

Accepted programs generally fall within a range of \$500,000 to \$4,000,000 in USAID funding over a three to five year period.

All centrally-funded PVC Matching Grants are cost-shared between USAID and the PVO, with PVC support not to exceed 50% of the estimated total *cash* costs of the program. Private matching funds are limited to U.S. dollars received or earned and recorded in the financial accounts of the recipient PVO. The match must be cash. In-kind contributions based on USAID 22 CFR may be applied above and beyond the 50% cash match.

Funds received by the PVO directly from the U.S. Government or USAID intermediaries are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the PVO's accounts and in-kind contributions of goods and services and other contributions not recorded in the PVO's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-federal contributions are set forth in USAID 22 CFR 226. (Copies of 22 CFR 226 may be obtained through the Government Printing Office, Washington, D.C. 20401 or from internet address [www.info.usaid.gov/pubs/ads/cfr22](http://www.info.usaid.gov/pubs/ads/cfr22)).

USAID reserves the right to fund, in whole or in part, any or none of the applications submitted in response to this announcement.

## **7. Substantial Involvement:**

PVC will be substantially involved during the period of the Cooperative Agreement and will provide guidance and/or approval on the following:

- a. Detailed Implementation Plans (DIPs) submitted to Matching Grant Project Officer within six months of the award.
- b. Annual Workplans regarding the program in meetings with the Matching Grants Project Officer who may also authorize implementation of activities in countries other than those indicated in the program description. Additionally, annual reports will be submitted to the Matching Grants Project Officer.
- c. USAID involvement in monitoring progress toward the achievement of program objectives during the Cooperative Agreement, including written guidelines for contents of annual reports and midterm and final evaluations in accordance with ADS 303.5.11.a.3.

- d. Specified key personnel.
- e. Collaborative involvement where appropriate in the selection of participation on advisory committees.

## **F. REVIEW PROCEDURES**

[NOTE: To ensure that your application adequately supports achievement of USAID Mission objectives, referred to in Section E.1.f., above, applicants are asked to fully discuss their ideas and planned programs with the USAID program officer and/or cognizant technical officer in the targeted country prior to submission of an application. Evidence of this ongoing dialogue is requested in the *Matching Grant Application*, Section D, question 29.]

The Matching Grant review process will take 4-5 months to allow time for all USAID input to be assembled and reviewed. USAID may find it necessary to conduct a pre-grant award survey of the PVO's fiscal and management systems and/or to determine an appropriate overhead rate. The entire grant review and approval process, from submission of the application to formal cooperative agreement execution, should be completed within ten months.

## **G. NEGOTIATION AND AWARD**

Authority to Obligate on Behalf of the Government - Final awards will be made by the Agreement Officer. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer. The award will be administered in accordance with 22 CFR Part 226, OMB Circulars and USAID Standard Provision.

If recommended for an award, it is the responsibility of the Agreement Officer to make a responsibility determination regarding your organization. Budget negotiations will be conducted using OMB Cost Principles and other USAID Standards that may apply, entailing a breakdown of each line item, and commit to writing all understandings between USAID and the Recipient. The Agreement Officer may request from prospective Recipients additional information regarding the budget figures.



## APPENDIX A ELIGIBLE COUNTRY LIST

<u>AFRICA</u>	<u>ASIA</u>	<u>LATIN AMERICA/ CARIBBEAN</u>
* Angola	Bangladesh	
Benin	*** Burma	Bolivia
*** Burkina Faso	Cambodia	Brazil
* Democratic Republic of the Congo (Zaire)	* India	Dominican Republic
Ethiopia	* Indonesia	Ecuador
Ghana	Mongolia	El Salvador
Guinea	*** Pakistan	Guatemala
Kenya	Philippines	Guyana
* Liberia	Sri Lanka	Haiti
Madagascar	*** Vietnam	Honduras
Malawi		Jamaica
Mali	<u>EASTERN EUROPE/ NIS</u>	Mexico
Mozambique		Nicaragua
* Nigeria	* Albania	Panama
Rwanda	Azerbaijan	Peru
Senegal	Bulgaria	
*** Sierra Leone	FYR Macedonia	<u>NEAR EAST</u>
South Africa	Kazakhstan	West Bank/Gaza
Tanzania	Kyrgyzstan	Egypt
*** Togo	Moldova	Jordan
Uganda	Romania	Lebanon
Zambia	Tajikistan	* Morocco
** Zimbabwe	Uzbekistan	

*NOTE: This list may be subject to change. We strongly encourage follow-up with Missions to confirm status prior to proposal submission.*

*\* Due to political uncertainties that may affect USAID's ability to support programs in these countries, PVOs should contact PVC and Missions prior to developing proposals.*

*\*\* Country close-out is pending which will require close collaboration with Mission for specific economic growth activities.*

*\*\*\* There is currently no USAID Mission. PVOs are strongly encouraged to confirm eligibility with PVC or regional bureaus before submitting application.*

**APPENDIX B**  
**REGIONAL BUREAU CONTACTS**

<u>Region</u>	<u>Name</u>	<u>Telephone</u>
Africa	Sharon Pauling	(202) 712-4748
Asia/Near East	Elizabeth Warfield	(202) 712-5929
Europe/New Independent States	Rita Hudson	(202) 712-1465
	Mary Lee McIntyre	(202) 712-0575
Latin America/Caribbean	Danielle Roziewski	(202) 712-1469

# APPENDIX C

## USAID MISSION ADDRESSES

### (LISTED ALPHABETICALLY BY COUNTRY)

USAID REPRESENTATIVE  
USAID/AMERICAN EMBASSY  
103 RRUGA E ELBASANIT  
TIRANA, ALBANIA

USAID/ANGOLA  
64 RUA DA LIGA AFRICANA  
LUANDA, ANGOLA

PVO LIAISON OFFICER  
USAID/AZERBAIJAN  
83 AZADLIA  
PROSPEKTI 83  
BAKU, AZERBAIJAN

PROGRAM OFFICER OR  
PVO LIAISON OFFICER  
USAID  
C/O AMERICAN EMBASSY  
MADHANI AVENUE, BARIDHARA  
DHAKA, BANGLADESH

USAID REPRESENTATIVE  
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RUE CAPORAL ANANI  
BERNARD, B.P. 2102  
COTONOU, BENIN

PROGRAM OFFICER OR  
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OBRAJES  
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C/O LEROY JACKSON  
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LEOPOLDO NAVARRO 12  
SANTO DOMINGO,  
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106 KASR EL AINI ST  
GARDEN CITY  
CAIRO, EGYPT

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URBANIZACION Y BOULEVARD  
SANTA ELENA  
ANTIGUO CUSCATLAN  
LA LIBERTAD, EL SALVADOR

CHIEF, HUMAN & INSTITUTIONAL  
DEVELOPMENT OFFICE  
PVO LIAISON OFFICER  
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(OFF ASMARA RD &  
BOLE/OLYMPIA)  
ADDIS ABABA, ETHIOPIA

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01009 GUATEMALA  
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AVENUE DOCTEUR RAVOHANGY  
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PANAMA

DIRECTOR  
USAID  
LARRABURE Y UNANUE 110  
LIMA 1 PERU

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1004  
MANILA, PHILIPPINES

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BALCESCU, 5TH FLOOR  
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BP 28 KIGALI, RWANDA

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SOUTH AFRICA

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OHIO STREET  
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HARARE, ZIMBABWE

## REGIONAL OFFICES ADDRESSES

### AFRICA

Regional Economic Development Services Offices (REDSO)

East & Southern Africa:

Director

USAID Towers - REDSO/ESA

The Crescent, Parklands

Nairobi, Kenya

Regional Center for Southern Africa (RCSA):

Director

USAID/RCSA

Plot No. 14818 Lebatlane Road

Gaborone West, Extension 6

Gaborone, Botswana

### LATIN AMERICA/CARIBBEAN

Regional Office for Central American Programs (ROCAP)

Director, Regional Programs

USAID/ROCAP

1 Calle 7-66, Zona 9

Edificio Plaza Uno

01009 Guatemala City, Guatemala

### NEW INDEPENDENT STATES

Director, Regional Mission for Central Asia Republic

USAID/Almaty

c/o American Embassy

97A Furmanov Street

480091 Almaty, Kazakstan

**PVOs interested in proposing a regional approach should contact the above regional offices in the same manner as you would a mission. Likewise, applications should be sent to the regional offices for review.**

**APPENDIX D  
COVER SHEET FOR MISSIONS**

Country: \_\_\_\_\_  
USAID Mission Director: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FY 1999 MATCHING GRANT APPLICATION**

**USAID/BHR/PVC** has requested that \_\_\_\_\_(PVO) provide appropriate USAID Missions with a copy of their application for **PVC's centrally-funded Matching Grant Program**, which requests PVC support for in-country programs. PVC has provided review guidance to the Missions by cable. Your participation in the review of these applications is critical and your assistance is appreciated.

Questions for PVC should be directed to:

Sallie Jones  
Chair, Matching Grant Review Committee  
USAID/BHR/PVC  
1300 Pennsylvania Avenue, NW 7.6D  
Washington, D.C. 20523-7600  
(703) 741-0565 or (202) 712-5302  
E-Mail sjones@usaid.gov

Questions for the PVO should be directed to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## APPENDIX E

### BUREAU FOR HUMANITARIAN RESPONSE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION MATCHING GRANT PROGRAM

#### *FISCAL YEAR 1999 MATCHING GRANT APPLICATION*

#### *Instructions:*

**All organizations requesting Matching Grant funding must complete this application, the accompanying OMB Standard Form 424 Budget Request and other required attachments (including the Program Methodology where appropriate). All questions must be answered.**

Responses should allow left and right margins which leave enough space to be read when bound. Characters must be in at 12 point font. You may adjust the spacing for responding to each question as you see fit as long as the amount of space used per section does not exceed the following limitations<sup>1</sup>: **Applicants may elect to introduce the questions by number and heading only, if space is an issue.**

Section A, Program Summary - two pages

Section B, History of Organization - one page

Section C, Program Foundation - four pages

Section D, Contribution to PVC Strategic Objective - three pages

Section E, Country-Specific Program Activity - seven pages per country

Section F, Program Management - four pages

Section G, Mentoring Component (optional) - one page

Be sure to fill out Section E (Country-Specific Program Activity) in full for each country program (i.e. there should be one set of responses for each proposed country activity).

Given these constraints, it is incumbent on the soliciting organization to be as succinct, yet comprehensive, as possible in responding to questions.

---

<sup>1</sup>To assist organizations in completing the Matching Grant Application, a copy of the application requirements is available on floppy disk and on the USAID homepage ([www.info.usaid.gov](http://www.info.usaid.gov)).

### ***Instructions for Standard Form 424***

Please see the instructions accompanying SF 424 in Attachment A.

Budget worksheets for headquarters and each proposed country should accompany SF 424.

Refer also to *Notes to Budget*, provided with Attachment A, for additional guidance.

*Note that applicants will be required to submit to USAID's Office of Procurement a Self-Certification letter pertaining to compliance with applicable Federal and USAID accepted policies for personnel, travel and procurement systems (see Attachment A). The Self-Certification letter must be submitted with your Matching Grant Application.*

### ***Summary List of Required Attachments***

### ***Refer to Question #***

1 -- Standard Form 424 with self certification ( <i>see instructions above</i> )	Att A
2 -- Planning Matrix	C11, C12
3 -- Program-wide Implementation Plan	C12
4 -- Organizational Chart and CVs of Key Personnel ( <i>specifically limited to the proposed program</i> )	F35
5 -- Previous USAID-funded Projects	F37
6 -- List of External Evaluations	F42
7 -- Sustainability Methodology for Microenterprise Credit Programs	Att B
9 -- Letters of support ( <i>optional</i> )	E27
10 -- Letter of commitment from proposed partner(s)	E22
11 -- Copy of formal partnership agreement(s) ( <i>optional, required as part of Detailed Implementation Plan</i> )	E22

NOTE: Please send only attachments that are explicitly requested above. Additional attachments will not be reviewed by the review committee.



# **FISCAL YEAR 1999 MATCHING GRANT APPLICATION**

## **TABLE OF CONTENTS**

(To be included in application submission)

<b>Section A:</b> Program Summary	<b>page #</b>
<b>Section B:</b> History of Organization	
<b>Section C:</b> Program Foundation	
<b>Section D:</b> Contribution to PVC Strategic Objective and Intermediate Results	
<b>Section E:</b> Country-Specific Activities	
<b>Section F:</b> Program Management/Headquarters Activities	
<b>Section G:</b> Mentoring Component (if elected)	
 <b>Attachments:</b>	
<b>A.</b> Budget	
<b>B.</b> Planning Matrix	
<b>C.</b> Program-Wide Implementation Plan	
<b>D.</b> Organizational Chart/Resumes	
<b>E.</b> Previous USAID-funded Projects	
<b>F.</b> List of External Evaluations	
<b>G.</b> Sustainability Methodology for Microenterprise Programs	
<b>H.</b> Letters of Commitment	
<b>G.</b> Partnership Agreements	

## **FISCAL YEAR 1999 MATCHING GRANT APPLICATION**

### **A. PROGRAM SUMMARY**

*(Two Pages)*

A1. Organization, Contact Person, Tel.

A2. Address and E-mail Address

A3. USAID \$ Request PVO \$ Match

FY99 \$ \_\_\_\_\_

FY99 \$ \_\_\_\_\_

LOP \$ \_\_\_\_\_

LOP \$ \_\_\_\_\_

A5. Distribution of AID \$ by Strategic Objective

<i>Strategic Objective</i>	<i>% PCT of AID LOP</i>
----------------------------	-------------------------

Economic Growth	_____
-----------------	-------

Population & Health	_____
---------------------	-------

Environment	_____
-------------	-------

Democratic Pluralism	_____
----------------------	-------

A4. Program Period: (3 or 5 years) \_\_\_\_\_

A6. LOP Funding Distribution By Region and Country ('000s)

(This chart should correspond to the figures provided in the program summary budget as *Attachment 1*.)

Location

USAID\$

PVO\$

TOTAL\$

a. HEADQUARTERS

b. COUNTRY (list)

TOTAL (DIRECT COSTS):

INDIRECT COSTS:

TOTAL MG PROGRAM:

A7. TITLE/EXECUTIVE SUMMARY: Describe the program's goal, objectives and sectoral focus. Indicate the extent to which the strategic planning of your organization emphasizes partnership. Identify beneficiary groups and estimate the numbers by gender in each that will be directly affected by your proposed program. Describe the program management organization proposed and the technical and managerial resources at headquarters and in the field which will be assigned to this program. Indicate which of these positions are new for your organization. Identify proposed local partners, how they were involved in the development of the proposal, and how they will contribute to implementation of the program.

## **B. HISTORY OF ORGANIZATION**

*(5%) (One Page)*

B8. HISTORY OF YOUR ORGANIZATION. General purpose/goals.

B9. DESCRIPTION OF ORGANIZATION: Describe your domestic and worldwide activities, method of operation and organizational structure. Indicate your organization's annual budget. Briefly highlight your experience in partnering with local entities and how your organization has helped strengthen these partners.

B10. ORGANIZATION GOALS: Describe the relationship of the proposed program to your organization's present and future goals and how this program will help you reach these goals. How will the program result in organizational growth to better address development problems?

## **C. PROGRAM FOUNDATION/ORGANIZATIONAL DEVELOPMENT**

*(20%) (Four Pages)*

C11. PROGRAM GOAL: Broad development objective that is being addressed. (The goal is usually broader in scope than can be reached by any one program, e.g., to increase income and employment among the poor in Latin America.)

C12. PROGRAM OBJECTIVE(S): What the program is expected to achieve (specific identifiable and measurable objective(s) during the life of the program (e.g., operational self-sufficiency in five countries in microenterprise lending programs).

C13. PROBLEMS TO BE ADDRESSED: Undesirable situation which the project will help correct, or key constraints to development which may be lessened or removed by the program.

C14. RATIONALE FOR UNDERTAKING PROGRAM: Explain in the context of your organization's development philosophy and USAID's policies and priorities as stated in the *Guidelines* for FY 1999 Matching Grant Application. Discuss the appropriateness of investing intended amounts of scarce resources in the activities identified. Why is the approach chosen in this program recommended over other approaches for addressing the problem?

C15. PROGRAM STRATEGY: How is this project likely to achieve the goal and objective(s) in C11 and C12? How will the proposed elements of the program methodology contribute to the program objective(s)? How will the partnership with local organizations contribute to the goal and objective(s)? What is the strategy for strengthening local partner organizations? (Limit answer to one page.)

C16. PROGRAM FOUNDATION:

a: Recipients of previous matching grants: How does the proposed program build on the activities and lessons learned in the previous matching grant? To what degree were objectives achieved? How has institutional strengthening contributed to the improved implementation of field programs? For follow-on programs, explain your strategy for replication and scaling up.

b: New Applicants: How have the recent evaluation findings and recommendations been incorporated into the proposed program design? Describe organizational changes that are intended to result from this grant (e.g., moving from relief to development or developing capability in a new sector). What will your organization look like at the end of the cooperative agreement? (e.g., what percentage of your activities will be comprised of sustainable development activities?)

**C17. MEASURING PROGRAM PERFORMANCE:** Describe current organizational capacity to measure results and demonstrate program effects. Explain how your organization has developed indicators, conducted baseline surveys, or used qualitative/quantitative measurement approaches to assess change in clients, communities, or organizational behavior. How successful has your organization been in demonstrating program effects and impacts? What kinds of approaches will your organization use for monitoring and evaluation of country activities, program performance and achievements?

**C18. CRITERIA FOR SELECTION OF COUNTRIES.**

*[NOTE: A Planning Matrix, consistent with the above narrative, including the basic information given in C11 and C12, is to be included as Attachment 2 to the completed application. On the following page is a model for the Planning Matrix. A country-by-country detail of the program indicators, objectives and results is to be given in questions 22-25. Also, provide, in the form of a matrix, a program-wide implementation plan (e.g., a GANNT chart) including main activities of the program. List on the vertical axis the activities and on the horizontal axis give the time frame or dates of their completion. Include training activities, program management, and technical assistance elements and indicate whether these activities are to be accomplished at headquarters, regional office or field level. Include as Attachment 3. Additional performance guidance is at Attachment G.]*

**D. CONTRIBUTION TO PVC STRATEGIC OBJECTIVE  
AND INTERMEDIATE RESULTS**

*(5%) (3 pages)*

**D19. CONTRIBUTION TO PVC STRATEGIC OBJECTIVE AND INTERMEDIATE RESULTS:** Describe how the proposed program will contribute to the attainment of PVC's strategic plan. Specifically, discuss how the proposed program will: 1) increase the operational or technical capacity of your organization, particularly as it relates to increased capacity to achieving and monitoring program performance and to enhancing program sustainability; 2) strengthen the partnership between your organization and USAID; 3) build local level partnerships, and improve the capacity and resources of NGOs; 4) improve the mobilization of resources or increase the financial diversity of your organization; and, 5) how will your organization use program results to increase public awareness of your organization's development activities (N.B.: Matching Grant resources cannot support the costs of public outreach).

PVC's annual Results Report consolidates the achievements of all active PVC cooperative agreements under the five categories cited above and can be found in Attachment F of this document. This report will provide your organization with a clear picture of how the current Matching Grants Program contributes to the attainment of PVC's objectives. The report outlines the indicators used by PVC to measure achievements of PVC's strategic objective and intermediate results and provides data on the results achieved by our PVO partners this year. Copies of PVC's strategic plan can be obtained from BHR/PVC or downloaded from PVC's homepage at:

[http://www.info.usaid.gov/hum\\_response/pvc/pvcpubs.html](http://www.info.usaid.gov/hum_response/pvc/pvcpubs.html).

## Planning Matrix

The Planning Matrix establishes the general project or program goal, objectives, indicators, means of measurement and activities that will contribute to the attainment of the objective. The Planning Matrix identifies: a) a set of results-oriented program objectives which distinguishes what the program hopes to accomplish; b) indicator(s) that match each program objective and define what will be measured to determine whether the objective has been achieved; c) measurement methods for the indicators, i.e., how the indicator will be measured; and d) the inputs or major activities that are needed to achieve the objective.

*MG applications should treat the Planning Matrix as an aggregate portrayal of the program, i.e. the matrix should serve as the summary of all headquarters and country inputs, outputs, and critical indicators combined.*

### PROGRAM GOAL AND OBJECTIVES

Program Goal: \_\_\_\_\_

OBJECTIVES	INDICATOR	MEASUREMENT METHOD, DATA SOURCE AND FREQUENCY OF DATA COLLECTION	MAJOR PLANNED ACTIVITIES
<p>What are the program objectives ?</p> <p>Headquarters</p> <p>Country Programs</p> <p>The objective should:</p> <ul style="list-style-type: none"> <li>- be specific</li> <li>- clearly state the type of change expected</li> <li>- be clear about who or what is changing</li> <li>...individual, groups organizations</li> </ul>	<p>What indicators will signal the achievement of the objective?</p> <p>Indicators should be:</p> <ul style="list-style-type: none"> <li>- <u>direct</u></li> <li>- <u>objective</u> &amp; precise</li> <li>- <u>quantitative</u>, where possible</li> <li>- <u>practical</u></li> <li>- <u>sufficiently reliable</u> for confident decision-making</li> </ul>	<p>What specific source of data for each indicator?</p> <p>What method will be used to obtain it?</p> <p>If data doesn't already exist, make provision for funding data collection activities in the budget.</p>	<p>What activities will support achievement of the objective?</p>

See examples on following two pages.

**Example 1** Program Goal: **Strengthened Capacity to deliver sustainable maternal health services**

OBJECTIVES	INDICATOR	MEASUREMENT METHOD, DATA SOURCE AND FREQUENCY OF DATA COLLECTION	MAJOR PLANNED ACTIVITIES
<u>PVO Headquarters</u>  Objectives: 1. Headquarters decreases its dependency on USAID funding 2. Country affiliates become independent national organizations	(1) % change in private revenue (income earned) (2) the number of corporate partnerships developed (3) % change in country affiliates that are financially self-sufficient by end of grant	- Annual Report	- Develop DIP with specific targets for all indicators - Develop strategy to get Board of Directors agreement - Join CorCom network - Develop Business Plan - Financial analysis and plan for making the country affiliates financially sustainable
<u>Country Program Level</u>  Objective 1  Maintain & expand tetanus immunization coverage for all pregnant women	(1) % change in maternal tetanus coverage, in women 15-49 years, by end of project in XXX district (2) % change in health facilities in XXX district with functional maternal health counseling services	- Annual evaluation of family health files - Baseline & final survey by PVO - Health facilities assessment	- training course for service delivery personnel & supervisor - develop immunization outreach strategy - maintain vaccination cards among eligible pregnant women - track individual vaccination history, follow-up & counseling
Objective 2  Increase capacity of partner NGO to provide maternal health services  (2a) increased demand for NGO services	(1) Increased NGO financial stability as evidenced by: - change in revenue earned through successful fundraising - successfully competed for a least 1 service delivery contract (2) Line item in budget for health technical staff (3) % change in number of women of reproductive age in XXX district that have been visited by NGO outreach worker and know at least 3 pregnancy-related danger signs	- operational & financial audit - baseline & final self assessment of organizational capacity (DOSA) - Baseline and follow-up surveys	- Develop organizational development plan - institute yearly fund raising campaign - train NGO in grant and proposal writing - develop brochure that illustrates the effectiveness of NGOs

**Example 2** Program Goal: **Create employment & income opportunities**

OBJECTIVES	INDICATOR	MEASUREMENT METHOD, DATA SOURCE AND FREQUENCY OF DATA COLLECTION	MAJOR PLANNED ACTIVITIES
<u>PVO Headquarters</u>  1. Increased technical capacity in micro-enterprise (ME) programming	(1) Adoption of key operational changes: - Board of Directors concurrence for new ME focus - change in salary structure for tech. specialist - line item in HQ budget for new position(s)	- Annual Reports - DOSA - Report of American Voluntary Agencies (Volag report) for privateness rating	Development of DIP with specific targets for each indicator  Midterm analysis of grant program performance data and organizational implication - cost/benefit analysis of expansion into new sectoral area - five year post grant organizational investment/returns plan  Strategy to "market" change to Board, HQ staff, HRD
2. Operational sustainability of affiliates & NGO partners in 4 countries	(1) Adoption of key operational changes: - decentralized affiliate decision making (2) Number of Regional multi-PVO service centers established and % of operating costs covered	Annual Reports  Final Evaluation	Negotiations to form partnerships to create & staff regional service centers  TA in business practices improvement
<u>Country Program Level</u>  1. Increased quality of ME institutions	(1) Productivity: - % change in loan volume (2) Outreach: - % change in number of women borrowers - % change in the number of new service modalities users, i.e., (group as well as individual lending) (3) Systems: - % change in the # of institutions that analyze performance & act on data	Baseline, midterm & final organizational self-assessment  ME Institution reports - portfolio analysis  Midterm & Final evaluations	Training in organizational assessment & portfolio analysis  MIS training
2. Increased sustainability of ME institutions	% change in the # of ME institutions making key changes improvements: - implement business plans - develop credible financial sustainability plan - leveraged add'l resources - operational sustainability	Baseline, midterm & final organizational self-assessment  Agency ME indicators system  Annual reports from ME institutions  Post grant sustainability review	Regional Meeting on Sustainability Planning  SDS country specific TA on diversifying resources



**E. COUNTRY-SPECIFIC ACTIVITIES LINKED TO  
HEADQUARTERS OBJECTIVES( 40%) (Seven Pages Per Country)**

[NOTE: The following questions (19-34, 7 pages total) should be copied and filled out with information specific to each country in which activities are proposed.]

**Country** \_\_\_\_\_

**E20. OVERVIEW OF COUNTRY PROGRAM:** Give a summary of each country-level program. What do you plan to accomplish in the proposed project? What is your proposed approach?

**E21. COUNTRY SPECIFIC PROGRAM OBJECTIVES:** What approaches and activities will support the objectives, including interventions such as in-country staffing and technical assistance? If training is to be a component of the proposed program, describe how the activities will serve to accomplish program objectives. Also indicate training methodology to be used, anticipated target groups, and plans for follow-up.

**E22. PARTNERSHIP DEVELOPMENT:** Describe how the proposed activity will strengthen the local partner organization(s) that will participate in the program and promote its long-term sustainability. Describe the local partner's programs and what the partner(s) will contribute to the implementation of the proposed program. Indicate the length of your relationship with the partner(s) and describe the nature of your collaboration (informal, structured with written agreements, etc.) Describe the current capacity of your local partner(s), including the financial, human and material resources of the local partner(s). Describe how the program plans to strengthen the managerial and technical skills of the staff in those local institutions that are to sustain program activities, and how the program will strengthen the local partner(s) resource base. Describe the kinds of resources you will be providing to your local partner organization(s) through the program and the kinds of mechanisms you plan to use to provide this support (TA, training, subgrants etc). Include capacity building objectives, indicators and how a change in capacity will be documented. Indicate how your local partner(s) was consulted during proposal preparation. Detail any electronic linkages or networks that exist between your organization and the local partner(s). Include additional information: 1) the name of the local partner(s); 2) address; 3) year the organization was founded; 4) mission of the organization; and 5) a brief discussion of the main activities of the organization over the last three years.

**E23. INFORMATION ON BENEFICIARY POPULATION:** Identify and estimate the number of beneficiaries (direct and indirect) of program activities. Disaggregate beneficiary populations by gender. Provide background data on the level of beneficiary status (e.g., production, income, savings, number of groups formed, available resources) and identify the source of the data (e.g., UNDP, PVO's baseline survey, World Bank). Identify how your organization will collect baseline and final data for refining intervention approaches and targets and estimate program performance.

'''

E24. DETAILED IMPLEMENTATION PLAN: Successful applicants will be required to prepare and submit a Detailed Implementation Plan (DIP) within six months of the award which will include a formal partnership agreement detailing each other's roles and responsibilities. The DIP will also include a plan to measure changes in their partner's organizational capacity. This document should clearly describe the nature of the cooperative relationship and demonstrate that the local partner has had a voice in determining the capacity strengthening needs. In the DIP, the Planning Matrix will outline the organization's refined objectives and indicators and set the targets.

E25. CRITICAL INDICATORS: What are the indicators to be used in the monitoring and evaluation of the country program? (Critical indicators must monitor success toward program objectives.) Give indicators for each objective. (Note: These are to be used in preparing the aggregate Planning Matrix.)

E26. MONITORING PLAN AND EVALUATION: Describe how the program will: 1) monitor program performance; 2) measure change in operational, technical, and/or financial capacity in both your organization and that of your local partners; and 3) measure program achievements and impact on target populations. Provide information on the methodologies that will be used to collect data on each of the country-specific critical indicators listed in D24. Discuss any additional assessments, studies or surveys that will be conducted (if the program is funded) and describe how this information will be used to strengthen program implementation or revise program objectives, targets or plans.

E27. RELATIONSHIP TO USAID MISSION AND HOST GOVERNMENT'S DEVELOPMENT PRIORITIES: Describe how your program relates to the development priorities of the USAID mission and the host government in the proposed country. If applicable, give a summary of any planned collaboration in your field-level activities with Host Government ministries, Peace Corps, other U.S. PVOs, or other international organizations. (Include letters of support as *Attachment 9 (optional)*, if available).

E28. HOST GOVERNMENT POLICY DIALOGUE: Discuss any efforts being made by your organization to influence, at the local and national levels, government policies that impact your program. In addition, discuss host government actions or approvals that are needed and plans for securing them.

E29. MISSION CONTACT: Status and nature of prior or ongoing discussions with USAID Mission staff. Indicate dates and names of staff contacts.

E30. GENDER: How have/will gender differences been/be addressed in the design, implementation, management and evaluation of the program?

E31. SUSTAINABILITY METHODOLOGY: Describe the processes you will undertake to facilitate a sustainability methodology of the program by addressing the following issues: 1) *Approach to Sustainability* (What local program services are to be sustained when Matching Grant resources end? What is the strategy to sustain them?) 2) *Technical Sustainability* (What local technical resources will be developed to replace or expand external ones?) 3) *Cost Recovery* (What goods or services will the program charge fees for? What actions are necessary to expand cost recovery? How will a market of fee-paying users be developed?) 4) *Financial Sustainability* (By the end of the Matching Grant what percentage of project costs is targeted to be paid for by local earnings/cost recovery? Give a projection of the volume of services, price, cost and projected income-over-expenses. What are other envisioned sources of program support and how will they be developed?) 5) *Organizational Structures and Changes for Sustainability* (What policies, values and structures need to be developed within your organization and at what levels to expand self-sustainability? How will you do this? 6) *Management Structures, Systems and Changes for Sustainability* (What types of personnel and business management systems and procedures must be introduced or expanded within your organization to improve sustainability?) List your critical indicators for sustainability. These will be further refined in the business planning phase and submitted with the DIP.

E32. PLANNED DURATION OF OUTSIDE SUPPORT of country activities.

E33. ENVIRONMENTAL IMPACT: Describe the process by which environmental impact has been assessed, and possible positive and negative effects which may be created by the proposed program.

E34. YOUR OTHER IN-COUNTRY USAID-FUNDED ACTIVITIES (e.g., Title II Food Aid - including monetized Title II resources, OPG's, contracts, Child Survival grants). Specify the activities being funded. What is the relationship of the proposed program to these other activities?

## **F. PROGRAM MANAGEMENT/HEADQUARTERS ACTIVITIES** ( 30%) (Four Pages)

F35. ORGANIZATIONAL EXPERTISE: Previous program experience and staff capabilities which demonstrate your capacity to carry out the proposed activities. (An organizational chart should be provided as *Attachment 4*, as well as CVs or statements on the qualifications of key personnel, indicating task/position for this program.)

F36. PROGRAM STAFFING PLANS: Individuals/departments responsible for managing this program at your organization's headquarters and in the field. What will be the arrangements for technical backstopping? Include also the division of responsibilities and whether any staff changes are foreseen. What new staffing capabilities will be required to enhance your organization's ability to partner with and strengthen local organizations and how will the program help to meet those needs?

F37. PREVIOUS AND CURRENT USAID-FUNDED PROJECTS undertaken by your organization. List these projects as *Attachment 5*. Include the USAID source of funds, the amount, and briefly describe each activity.

F38. PROGRAM CONTINUITY: If this program is helping your organization to strengthen your planning, technical, and management capacity in a new program area, how will this capacity be sustained after the grant ends. Describe your approach for developing a business plan.

F39. PROGRAM FINANCIAL ACCOUNTING: Management information procedure for ensuring accountability in the use of U.S. Government funds and your private match. Describe headquarters/field program budgeting and reporting procedures.

F40. PROGRAM BUDGET NARRATIVE: Narrative discussion of program budget line items, method of estimating costs, and related assumptions. Refer and correlate this narrative to the prepared budget tables that are to be submitted as Attachment 1 to your application. Blank budget sheets are attached to this application form as Attachment A and can be used as models for providing the requested data. If key program cash contributions are coming from sources other than USAID and the PVO, describe the proposed arrangements and the status of the negotiations. If any sub-grants are contemplated, they should be described here.

F41. FINANCIAL HISTORY/PROJECTIONS: Discuss your organization's financial history and projections. Refer and correlate this narrative to the budget table.

F42. EXTERNAL PROGRAM/PROJECT EVALUATIONS of your organization which have been completed in the past three years. Provide the following information: dates, countries, and identify the evaluators. Provide, as *Attachment 6*, the Executive Summary and program recommendations of the most recent evaluation of your organization by BHR/PVC, if one has been undertaken. If your organization has never been a PVC grant recipient, provide the above information of another recent external evaluation.

#### **G. MENTORING COMPONENT (OPTIONAL)**

PVC strongly encourages mature PVOs to consider this option.

G42. MENTORING PARTNERSHIP: Describe your proposed mentoring partner. Detailed information should be provided on the roles, responsibilities and accountability of each partner

organization. A single award will be made to one recipient with the partner as a sub-recipient. The application should propose the structure that the partner organizations have determined meets their respective needs. A mentor/mentoree relationship may consist of: exchange of information, technical assistance, and/or resource transfers. Include additional information you feel would be important for consideration by this office as it reviews the proposed program. *N.B.: The mentoring partner must be a US PVO.*

## **Attachment A**

### ***NOTES TO BUDGET***

***\*PLEASE BE SURE TO PROVIDE BUDGET WORKSHEETS FOR HEADQUARTERS AS WELL AS EACH PROPOSED COUNTRY AS A SUPPLEMENT TO THE STANDARD FORM 424.\*\****

(1) **Cost-Sharing Arrangement:** The Recipient has agreed to expend from its non-Federal cash funds by the end of the life-of-program (LOP) period the amount of total cost share/match expenditures specified in the Recipient Share columns of the budget. The Recipient is required to meet the requirements of the Standard Provision of this Agreement entitled "Cost-Sharing/Matching". The Recipient is required to report in its annual reports and in the Financial Status Report Form SF 269 the total amount of cost-sharing/matching to date. Although the Recipient is required to cost share/match on a life-of-program basis, it is also expected to expend those funds on a pro-rata basis per year and not wait until the last year of the agreement to expend its cost share match. Partner contributions may be applied to the cost share when auditable as such.

(2) **Procurement:** The Recipient is expected to use its own private cost-share/matching funds for all procurements of nonexpendable property estimated at over \$5000 per unit, for all procurements of motor vehicles (including motor bikes) and for all non-U.S. procurements. This alleviates the requirement for a source/origin waiver and also places the title to property completely in the Recipient's name.

(3) **Salaries:** The budget line for salaries must reflect levels of effort being supported by the grant, i.e. by title, person days and rate.

(4) **Travel:** The budget narrative must include a breakout of both domestic and international travel and indicate number and destination of trips, number of persons traveling and number of days per trip.

(5) **Cost Basis:** The budget narrative should fully explain the basis for the line item costs so that the Grant Officer can easily verify the cost based on the calculations indicated in the narrative. This will obviate the need to request budget clarifications, which delay the processing of the award. The narrative need not cover each individual component of each line item. It may cover

groups of items as appropriate. The description of the basis should answer questions like the following:

### Attachment A con't

- are the proposed salaries based on current salaries and are they appropriate for the locality?
- are airfares based on quotes for coach fare?
- are equipment purchase costs based on catalogue prices or supplier quotes?
- are proposed per diems based on established policies?

(6) **Grant Budget:** The budget in the award document will normally have only four (4) cost elements. The budget will be set up as follows:

- (1) Program (or output)\*
- (2) Training
- (3) Procurement
- (4) Indirect Costs (overhead)
- Total

\* If the Recipient's application has more than one output or program, each output/program would be listed separately. Ordinarily, each instrument supports only one output/objective.

Each Object Class Category (cost element) listed in Block 6 of the SF424A has a notation next to it which indicates the budget cost element into which it will normally fall. (For example: Personnel (1) - shows Object Class Category 6a. Personnel would be in the "Program" cost element.)

NOTE: The Procurement cost element includes anything the Recipient has to contract out for such as consultant services, subcontracts (NOT subgrants), supplies, equipment, evaluation costs that are subcontracted, etc.

The form 424A contains 11 Object Class Categories, including the Total. Recipient costs proposed for Training and Subgrants must be included in the "Other" Object Class Category. The costs proposed for Training and Subgrants must itemized in the budget notes explanation of the Object Class Categories so that Training may be included in Line Item 2 of the award and subgrants may be included in Line Item 1.

(7) **Partners/Subgrantees:** Costs must be separated into those assigned to the applicant organization and those for the partner organization which will be shown as a subgrant for purposes of this Cooperative Agreement.



**PLEASE NOTE: FORMS CAN BE DOWNLOADED FROM USAID'S HOME PAGE AS FOLLOWS:**

**[http://www.info.usaid.gov/procurement\\_bus\\_opp/procurement/forms/](http://www.info.usaid.gov/procurement_bus_opp/procurement/forms/)**

**This and other CDIE TIPS may also be downloaded from the USAID website as follows:**

**<http://www.info.usaid.gov>, click on "Publications", then "USAID Evaluation Publications", then "CDIE Presentation Monitoring and Evaluation TIPS", lastly "Selecting Performance Indicators". (You will need acrobat reader to download the document.)**

**PVC's Results Report may be downloaded from the Office's homepage located on the USAID website.**

# USAID Form 424

OMB Approval No. 0348-0043

## APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> Application   _____ Construction   X Non-Construction </div> <div style="width: 48%;"> Preapplication   _____ Construction   _____ Non-Construction </div> </div>		<b>2. DATE SUBMITTED</b>  Applicant Identifier N/A	
		<b>3. DATE RECEIVED BY STATE</b>  N/A	State Application Identifier N/A
		<b>4. DATE RECVD BY FEDERAL AGENCY</b>  	Federal Identifier N/A

<b>5. APPLICATION INFORMATION</b>	
<b>Legal Name:</b>  Address (give only county, state, and zip code):	<b>Organizational Unit</b>  Name and telephone number of person to be contacted on matters involving this application (give area code)

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b>  	<b>7. TYPE OF APPLICATION:</b> (enter appropriate letter in box) ..... <span style="border: 1px solid black; padding: 0 5px;">M</span>
<b>8. TYPE OF APPLICATION</b>  X New _____ Continuation _____ Revision _____  If Revision, enter appropriate letter(s) in box(es) ..... <span style="border: 1px solid black; display: inline-block; width: 40px; height: 15px; vertical-align: middle;"></span>  <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> A. Increase Award B. Decrease Award C. Increase Duration </div> <div style="width: 48%;"> D. Decrease Duration E. Other (specify): _____ </div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special Dist. </div> <div style="width: 48%;"> H. Independent School Dist I. State Controlled Institurion of Higher Learning J. Indian Tribe K. Individual L. Profit Organizaiton M. Other (specify): PVO </div> </div>

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  TITLE: N/A	<b>9. NAME OF FEDERAL AGENCY</b>  
<b>12. AREAS AFFECTED</b> (Cities, Counties, States, etc.):	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>  

<b>13. PROPOSED PROJECT</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> START DATE   </div> <div style="width: 48%;"> END DATE   </div> </div>	<b>14. CONGRESSIONAL DISTRICTS OF:</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> a. Applicant N/A </div> <div style="width: 48%;"> b. Project N/A </div> </div>
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<b>15. ESTIMATED FUNDING:</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 30%;">a. Federal</td><td>\$</td></tr> <tr><td>b. Applicant</td><td>\$</td></tr> <tr><td>c. State</td><td>N/A</td></tr> <tr><td>d. Local</td><td>N/A</td></tr> <tr><td>e. Other</td><td>\$</td></tr> <tr><td>f. Program Income</td><td>\$</td></tr> <tr><td>g. TOTAL</td><td>\$</td></tr> </table>	a. Federal	\$	b. Applicant	\$	c. State	N/A	d. Local	N/A	e. Other	\$	f. Program Income	\$	g. TOTAL	\$	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>  a. YES, THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:  DATE _____  B. NO. <u>  x  </u> PROGRAM IS NOT COVERED BY E.O. 12372 <u>  x  </u> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$														
b. Applicant	\$														
c. State	N/A														
d. Local	N/A														
e. Other	\$														
f. Program Income	\$														
g. TOTAL	\$														

<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <span style="float: right;">Yes    If "Yes", attach an explanation    No</span>		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRU AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>		
a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative	e. Date Signed	

## INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:

Entry:

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.
8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:
  - "New" means a new assistance award.
  - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.
  - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12. List only the largest political entities affected (e.g., State, counties, cities).
13. Self-explanatory.
14. List the applicant's Congressional District and any District(s) affected by the program or project.
15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

**SF 424 Back (Rev. 4-92)**

Item:

Entry:

9. Name of Federal agency from which assistance is being requested with this application.

## **INSTRUCTIONS FOR THE SF 424 (continued)**

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernment review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**USAID Form 424A**  
**Budget Information - Non-Construction Programs**

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity {a}	Catalog of Fderal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	NA	NA	NA	\$	\$	\$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5.TOTALS	NA	NA	NA	\$	\$	\$
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function or Activity				Total {5}	
	Headquarters {1}	Field {2}	Headquarters {3}	Field {4}		
a. Personnel (1)	\$	\$			\$	
b. Fringe Benefits (1)						
c. Travel (1)						
d. Equipment (3)						
e. Supplies (3)						
f. Contractual (3)						
g. Construction N/A						
h. Other (1), (2) (see notes)						
i. Total Direct Charges (sum of 6a-6h)						
j. Indirect Charges (4)						
k. TOTALS (sum of 6i and 6j)	\$	\$			\$	
7. Program Income	\$	\$	\$	\$	\$	

**USAID FORM 424A (cont'd)**

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Headquarters		\$	NA	\$	\$
9. Field			NA		
10. NA		NA	NA	NA	NA
11. NA		NA	NA	NA	NA
12. TOTAL (sum of lines 8-11)		\$	NA	\$	\$
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
	NA	NA	NA	NA	NA
14. Non-Federal	NA	NA	NA	NA	NA
15. TOTAL (sum of lines 13 and 14)		NA	NA	NA	NA
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	Future Funding Periods				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. Headquarters	\$	\$	\$	\$	
17. Field					
18. NA	NA	NA	NA	NA	
19. NA	NA	NA	NA	NA	
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

## Standard Form 424A (cont'd.)

### INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

#### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

#### Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this.

Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

SF 424A (Rev. 4-92) Page 3

## Standard Form 424A (cont'd.)

### INSTRUCTIONS FOR THE SF 424A (continued)

#### Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

#### Section D. Forecasted Cash Needs



# U.S. Agency for International Development

## CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE<sup>1 2</sup>

### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

### **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

#### **(a) Instructions for Certification**

- (1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For applicants/grantees other than individuals, Alternate I applies.
- (4) For applicants/grantees who are individuals, Alternate II applies.

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<sup>1</sup> FORMATS\GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11)

<sup>2</sup> When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

**3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS<sup>3</sup>**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will

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<sup>3</sup> The applicant/grantee must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The applicant/grantee should reproduce additional copies as necessary.

be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.<sup>4</sup> You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"<sup>5</sup> provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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<sup>4</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>5</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. nongovernmental organization.

**4. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**5. AGREEMENT ON GRANT TERMS AND CONDITIONS**

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Grantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**ENDRECORD**

## **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

### **(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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1/ See Chapter 3 of USAID Handbook 13, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see Appendix 4D of USAID Handbook 13).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

(RECIPIENT CERTIFICATE OF COMPLIANCE)

LETTERHEAD

Date:

To: Contracting Officer  
M/OP/PS/OCC  
USAID, Room 7.08-061  
Washington, DC 20523

I, (Name Printed or Typed), (Title), as a legally authorized representative of (Organization Name) do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible action ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## **Attachment B**

### ***SUSTAINABILITY METHODOLOGY FOR MICROENTERPRISE CREDIT PROJECTS***

For programs that include a credit component, describe the following elements of the activity:

#### ***GENERAL INFORMATION***

- Program methodology; i.e., solidarity groups, village banks, or individual loans; client selection and loan approval process; collection system.
- Administrative and financial information and control systems.
- Strategy for marketing/advertising the program to potential clients (include discussion of demand analysis and market penetration surveys).
- Assumptions and features of the business plan (aspects of reaching scale, accessing capital, improving cost efficiency).

***COUNTRY-SPECIFIC INFORMATION*** (To be included in Country Program section of application - Questions E 20 to 34.)

- Projected growth in the loan portfolio over the life of the program.
- Average loan term (include nominal and effective interest rates).
- Average loan size.
- Repayment Schedule/Process.
- Actual and/or anticipated delinquency rate.
- Client to staff ratio.
- Current client breakdown by gender (% male/% female) and projected client breakdown by gender at program's end.
- Financial sustainability - indicate current cost-recovery rate and projected level of financial sustainability at the end of the program (include definition of what costs are covered at what levels of operation).